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CENTRAL FAX CENTER****NOV 08 2006****FAX TRANSMISSION****DATE:** November 8, 2006**PTO IDENTIFIER:** Application Number 10/811,782-Conf. #9480  
Patent Number**Inventor:** Sutherland C. Ellwood, Jr.**MESSAGE TO:** US Patent and Trademark Office**FAX NUMBER:** (571) 273-8300**FROM:** PATENT LAW OFFICES OF MICHAEL E. WOODS

Michael E. Woods

**PHONE:** (415) 388-0830**Attorney Dkt. #:** 20028-7003**PAGES (Including Cover Sheet):** 6**CONTENTS:** IDS (Citation) by Applicant (8 References) (1 page)  
Information Disclosure Statement (3 pages)  
Certificate of Transmission (1 page)

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**NOV 08 2006**

PTO/SB/08a/b (07-06)

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Substitute for form 1449A/B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/811,782-Conf. #9480
				Filing Date	March 29, 2004
				First Named Inventor	Sutherland C. Ellwood, Jr.
				Art Unit	2883
				Examiner Name	T. L. Rude
				Attorney Docket Number	20028-7003
Sheet	1	of	1		

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	AA*	US-4,845,449	07-04-1989	Stern et al.	
	AB*	US-5,351,319	09-27-1994	Ginder et al.	
	AC*	US-5,612,813	03-18-1997	Damman et al.	
	AD*	US-6,823,142	11-23-2004	Tanaka et al.	
	AE*	US-20010055820	12-27-2001	Sakurai et al.	
	AF*	US-20040223719	11-11-2004	Ram et al.	
	AG*	US-6,816,637	11-09-2004	McGlashan-Powell et al.	
	AH*	US-6,983,097	01-03-2006	McGlashan-Powell et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \* CITE NO.: Those application(s) which are marked with an single asterisk (\*) next to the Cite No. are not supplied (under 37 CFR 1.88(a)(2)(ii)) because that application was filed after June 30, 2003 or is available in the IFW. Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Examiner Signature		Date Considered	
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**NOV 08 2006**

Docket No.: 20028-7003  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Sutherland C. Ellwood, Jr.

Application No.: 10/811,782

Confirmation No.: 9480

Filed: March 29, 2004

Art Unit: 2883

For: Faraday structured waveguide modulator

Examiner: T. L. Rude

**INFORMATION DISCLOSURE STATEMENT (IDS)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 CFR 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO/SB/08. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is filed more than three months after the U.S. filing date, OR more than three months after the date of entry of the national stage of a PCT application, AND after the mailing date of the first Office Action on the merits, whichever occurs first, but before the mailing date of a Final Office Action or Notice of Allowance (37 CFR 1.97(c)).

I hereby certify, pursuant to 37 CFR 1.97(e)(2), that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making

Application No.: 10/811,782

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Docket No.: 20028-7003

reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Copies of the references on the PTO/SB/08 are not provided.

In accordance with 37 CFR 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists. In accordance with 37 CFR 1.97(h), the filing of this Information Disclosure Statement shall not be construed to be an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

The Examiner is advised that the following co-pending application(s) contain(s) subject matter that may be related to the present application. By bringing this(these) application(s) to the Examiner's attention, Applicant(s) does (do) not waive the confidentiality provisions of 35 U.S.C. § 122.

Application Number	Filing Date	Art Unit
10/812,294	March 29, 2004	2883
10/812,295	March 29, 2004	2883
10/906,220	February 9, 2005	2883
10/906,221	February 9, 2005	2874
10/906,222	February 9, 2005	2883
10/906,223	February 9, 2005	2874
10/906,224	February 9, 2005	2883
10/906,225	February 9, 2005	2883
10/906,226	February 9, 2005	2883
10/906,255	February 11, 2005	2883
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10/906,261	February 11, 2005	2871
10/906,262	February 11, 2005	2874

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Docket No.: 20028-7003

10/906,263	February 11, 2005	2874
10/906,304	February 14, 2005	2883
11/011,496	December 14, 2004	2871
11/011,751	December 14, 2004	2883
11/011,761	December 14, 2004	2883
11/011,762	December 14, 2004	2883
11/011,770	December 14, 2004	2883
60/544,591	February 12, 2004	

It is submitted that the Information Disclosure Statement is in compliance with 37 CFR 1.98 and the Examiner is respectfully requested to consider the listed references.

Dated: November 8, 2006

Respectfully submitted,

By /Michael E. Woods/

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Registration No.: 33,466

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PTO/SB/97 (09-04)

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Application No. (if known): 10/811,782

Attorney Docket No.: 20028-7003

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